



11-5-04

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EXPRESS MAIL LABEL NO.: EV 333487178 US

PATENT

Attorney Docket No. 29914.703.201

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application	)	<u>PATENT APPLICATION</u>
	)	
Inventor(s): David STINSON et al.	)	
	)	Art Unit: 3738
Application No.: 10/615,417	)	
	)	Examiner: Not yet assigned
Filed: July 8, 2003	)	
	)	
Title: Prostheses, tools and methods for	)	
replacement of natural facet joints with	)	
artificial facet joint surfaces	)	
	)	

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Sir:

Applicants hereby submit an Information Disclosure Statement along with attached form(s) PTO/SB/08. A copy of each listed publication is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. Applicants further request that the Examiner initial and return the attached form(s) PTO/SB/08 in accordance with MPEP §609.

Applicants reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, prior art or material to patentability as defined in §1.56.

- ☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
  - ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
  - ☒ (3) It is being filed before the mail date of the first Office Action on the merits  
-- OR --
  - ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- ☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; **or**
  - ☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
  - B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**
  - C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ Copies of each of the references listed on the attached Form PTO/SB/08 are enclosed herewith.
- ☒ Copies of references listed on the attached Form PTO/SB/08 are enclosed herewith EXCEPT THAT:
- ☐ In view of the voluminous nature of references, and the likelihood that these references are available to the Examiner in the file history of the parent application (Serial No. ), copies are not enclosed herewith.
  - ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

- ☒ Copies of only foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR 1.98 (a)(2). (The U.S. patents and each U.S. patent application publication listed on the attached Form PTO-1449 are not enclosed because this U.S. patent application was filed after June 30, 2003 or this international application has entered the national stage under 35 USC §371 after June 30, 2003 (see USPTO waiver of requirement under 37 CFR 1.98 (a)(2)(i)).
- ☐ There are no listed references which are not in the English language.
- ☐ The relevance of those listed references which are not in the English language is as follows:
- ☐ Attached are copies of search report(s) from corresponding patent application(s), submitted in accordance with MPEP 609 D in support of the attached certification under 37 CFR 1.97(e)(1).
- ☐ Attached are the following non-published pending patent applications which may be deemed relevant.
- ☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (Docket No. 29914.703.201).

Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Dated: 11/3/04

By: Benjamin Glenn  
Benjamin Glenn, Reg. No. 44,713

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Under the paperwork Reduction Act of 1995, no persons required to respond to a collection of information unless it contains a valid OMB control number.

<b>Substitute for form 1449/PTO</b> <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/615,417
				Filing Date	07/08/2003
				First Named Inventor	Stinson
				Art Unit	3738
				Examiner Name	Not yet assigned
Sheet	1	of	3	Attorney Docket Number	29914.703.201

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-2001/0012938	08/09/2001	Zucherman et al.	
		US-2001/0020170	09/06/2001	Zucherman et al.	
		US-2002/0029039	03/07/2002	Zucherman et al.	
		US-2002/0151895	10/17/2002	Soboleski et al.	
		US-2004/0116927	06/17/2004	Graf	
		US-2004/0127989	07/01/2004	Dooris et al.	
		US-2004/0143264	07/22/2004	McAfee	
		US-RE 36,221	06/01/1999	Breard et al.	
		US-RE 36,758	06/27/2000	Fitz	
		US-5,105,255	05/14/1991	Kuslich	
		US-5,062,845	11/05/1991	Kuslich et al.	
		US-5,092,866	03/03/1992	Breard et al.	
		US-5,258,031	11/02/1993	Salib et al.	
		US-5,300,073	04/05/1994	Ray et al.	
		US-5,415,661	05/16/1995	Holmes	
		US-5,425,773	06/20/1995	Boyd et al.	
		US-5,445,639	08/29/1995	Kuslich et al.	
		US-5,491,882	02/20/1996	Walston et al.	
		US-5,507,823	04/16/1996	Walston et al.	
		US-5,527,312	06/18/1996	Ray	
		US-5,562,738	10/08/1996	Boyd et al.	
		US-5,571,191	11/05/1996	Fitz	
		US-5,577,995	11/26/1996	Walker et al.	
		US-5,603,713	02/18/1997	Aust et al.	
		US-5,741,261	04/21/1998	Moskovitz et al.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

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Sheet	2	of	3	Attorney Docket Number	29914.703.201	

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		Number-Kind Code <sup>2</sup> (if known)			
		US-5,836,948	11/17/1998	Zucherman et al.	
		US-5,860,977	01/19/1999	Zucherman et al.	
		US-5,879,396	03/09/1999	Walston et al.	
		US-6,048,342	04/11/2000	Zucherman et al.	
		US-6,068,630	05/30/2000	Zucherman et al.	
		US-6,132,464	10/17/2000	Martin	
		US-6,200,322	03/13/2001	Branch et al.	
		US-6,293,949	09/25/2001	Justis et al.	
		US-6,419,703	07/16/2002	Fallin et al.	
		US-6,565,605	05/20/2003	Goble et al.	
		US-6,579,319	06/17/2003	Goble et al.	
		US-6,610,091	08/26/2003	Reiley	
		US-6,669,729	12/30/2003	Chin	
		US-6,761,720	07/13/2004	Senegas	
		US-6,783,527	08/31/2004	Drewry et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>4</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
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				Art Unit	3738	
Examiner Name	Not yet assigned					
Sheet	3	of	3	Attorney Docket Number	29914.703.201	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		GUNZBERG, R. et al., "Arthroplasty of the Spine". Berlin; New York; Springer, 2004.	
		GUYER R. et al., "Impliant: Motion Preservation through Total Posterior-Element Replacement". (May 7, 2004) Presentation held at Hofburg Center, Vienna, Austria.	
		SACHER, R. Brochure for presentation at MedTech Insight Conference (October 31, 2003) Boston, MA.	

Examiner signature		Date Considered	
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